09/993,234

Application No.:

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- [X] 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- [ ] 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- [ ] 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- [ ] 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- [ ] 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- [ ] 6. The paper copy of the "Sequence Listing" is not the same as the computer readable from of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- [X] 7. Other: Specific errors in the Computer readable file (CRF)

Applicant Must Provide:

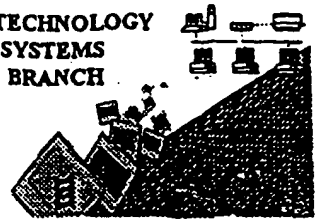
- [✓] An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- [✓] An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- [✓] A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216
For CRF Submission Help, call ~~(703) 308-4212~~ 571-272-2510
For PatentIn software help, call (703) 308-6856

PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE

BIOTECHNOLOGY SYSTEMS BRANCH



RAW SEQUENCE LISTING ERROR REPORT

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/993,234A
Source: IFW16
Date Processed by STIC: 4/13/04

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.
PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

1) **INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,**
2) **TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY**

FOR CRF SUBMISSION AND PATENTIN SOFTWARE QUESTIONS, PLEASE CONTACT MARK SPENCER, TELEPHONE: 703-308-4212; FAX: 703-308-4221
***Effective 12/13/03*: TELEPHONE: 571-272-2510; FAX: 571-273-0221**

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 4.1 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:
http://www.uspto.gov/web/offices/pac/checker/chkr41note.htm

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.
Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.
Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/ebc/efs/downloads/documents.htm>, EFS Submission User Manual - ePAVE)
2. **U.S. Postal Service:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. **Hand Carry directly to (EFFECTIVE 12/01/03):**
   U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. **Federal Express, United Parcel Service, or other delivery service to:** U.S. Patent and Trademark Office, Box Sequence, Room 4B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 10/08/03

IFW16

RAW SEQUENCE LISTING DATE: 04/13/2004
PATENT APPLICATION: US/09/993,234A TIME: 14:32:52

Input Set : A:\P1007P1D1.txt
Output Set: N:\CRF4\04132004\I993234A.raw

delete - already shown → SEQUENCE LISTING
W--> 7 ~~SEQUENCE LISTING~~
9 (1) GENERAL INFORMATION:
11 (i) APPLICANT: Ashkenazi, Avi J.
13 (ii) TITLE OF INVENTION: Apo-2 LI AND Apo-3 POLYPEPTIDES
15 (iii) NUMBER OF SEQUENCES: 28
17 (iv) CORRESPONDENCE ADDRESS:
18 (A) ADDRESSEE: Genentech, Inc.
19 (B) STREET: 1 DNA Way
20 (C) CITY: South San Francisco
21 (D) STATE: California
22 (E) COUNTRY: USA
23 (F) ZIP: 94080
25 (v) COMPUTER READABLE FORM:
26 (A) MEDIUM TYPE: 3.5 inch, 1.44 Mb floppy disk
27 (B) COMPUTER: IBM PC compatible
28 (C) OPERATING SYSTEM: PC-DOS/MS-DOS
29 (D) SOFTWARE: WinPatin (Genentech)
31 (vi) CURRENT APPLICATION DATA:
E--> 32 **(A) APPLICATION NUMBER: US/09/993,234A**
E--> 33 **(B) FILING DATE: 19-Nov-2001**
34 (C) CLASSIFICATION:
44 (vii) PRIOR APPLICATION DATA:
37 (A) APPLICATION NUMBER: 08/828683
38 (B) FILING DATE: 31-MAR-1997
41 (A) APPLICATION NUMBER: 08/625328
42 (B) FILING DATE: 1-Apr-1996
45 (A) APPLICATION NUMBER: 08/710802
46 (B) FILING DATE: 23-Sep-1996
48 (viii) ATTORNEY/AGENT INFORMATION:
49 (A) NAME: Marschang, Diane L.
50 (B) REGISTRATION NUMBER: 35,600
51 (C) REFERENCE/DOCKET NUMBER: P1007P1D1
53 (ix) TELECOMMUNICATION INFORMATION:
54 (A) TELEPHONE: 650/225-5416
55 (B) TELEFAX: 650/952-9881

pp 2-4

ERRORED SEQUENCES

887 (2) INFORMATION FOR SEQ ID NO: 21:
889 (i) SEQUENCE CHARACTERISTICS:
890 (A) LENGTH: 197 amino acids

p. 2

RAW SEQUENCE LISTING DATE: 04/13/2004
PATENT APPLICATION: US/09/993,234A TIME: 14:32:52

Input Set : A:\P1007P1D1.txt
Output Set: N:\CRF4\04132004\I993234A.raw

E--> 891 (B) TYPE: PRT "use amino acid" ← do not use "PRT" unless Sequence Listing is in "new" Sequence Rules format.
892 (D) TOPOLOGY: Linear
894 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 21:
896 Met Gly Leu Ser Thr Val Pro Asp Leu Leu Leu Pro Leu Val Leu
897 1 5 10 15
899 Leu Glu Leu Leu Val Gly Ile Tyr Pro Ser Gly Val Ile Gly Leu
900 20 25 30
902 Val Pro His Leu Gly Asp Arg Glu Lys Arg Asp Ser Val Cys Pro
903 35 40 45
905 Gln Gly Lys Tyr Ile His Pro Gln Asn Asn Ser Ile Cys Cys Thr
906 50 55 60
908 Lys Cys His Lys Gly Thr Tyr Leu Tyr Asn Asp Cys Pro Gly Pro
909 65 70 75
911 Gly Gln Asp Thr Asp Cys Arg Glu Cys Glu Ser Gly Ser Phe Thr
912 80 85 90
914 Ala Ser Glu Asn His Leu Arg His Cys Leu Ser Cys Ser Lys Cys
915 95 100 105
917 Arg Lys Glu Met Gly Gln Val Glu Ile Ser Ser Cys Thr Val Asp
918 110 115 120
920 Arg Asp Thr Val Cys Gly Cys Arg Lys Asn Gln Tyr Arg His Tyr
921 125 130 135
923 Trp Ser Glu Asn Leu Phe Gln Cys Phe Asn Cys Ser Leu Cys Leu
924 140 145 150
926 Asn Gly Thr Val His Leu Ser Cys Gln Glu Lys Gln Asn Thr Val
927 155 160 165
929 Cys Thr Cys His Ala Gly Phe Phe Leu Arg Glu Asn Glu Cys Val
930 170 175 180
932 Ser Cys Ser Asn Cys Lys Lys Ser Leu Glu Cys Thr Lys Leu Cys
933 185 190 195
935 Leu Pro
938 (2) INFORMATION FOR SEQ ID NO: 22:
940 (i) SEQUENCE CHARACTERISTICS:
941 (A) LENGTH: 167 amino acids
E--> 942 (B) TYPE: PRT same error
943 (D) TOPOLOGY: Linear
945 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 22:
947 Met Leu Gly Ile Trp Thr Leu Leu Pro Leu Val Leu Thr Ser Val
948 1 5 10 15
950 Ala Arg Leu Ser Ser Lys Ser Val Asn Ala Gln Val Thr Asp Ile
951 20 25 30
953 Asn Ser Lys Gly Leu Glu Leu Arg Lys Thr Val Thr Thr Val Glu
954 35 40 45
956 Thr Gln Asn Leu Glu Gly Leu His His Asp Gly Gln Phe Cys His
957 50 55 60
959 Lys Pro Cys Pro Pro Gly Glu Arg Lys Ala Arg Asp Cys Thr Val
960 65 70 75
962 Asn Gly Asp Glu Pro Asp Cys Val Pro Cys Gln Glu Gly Lys Glu
963 80 85 90
965 Tyr Thr Asp Lys Ala His Phe Ser Ser Lys Cys Arg Arg Cys Arg

This Sequence Listing is in "old" Sequence Rules format.

RAW SEQUENCE LISTING DATE: 04/13/2004
PATENT APPLICATION: US/09/993,234A TIME: 14:32:52

Input Set : A:\P1007P1D1.txt
Output Set: N:\CRF4\04132004\I993234A.raw

```
966                  95                  100                 105
968  Leu Cys Asp Glu Gly His Gly Leu Glu Val Glu Ile Asn Cys Thr
969                 110                 115                 120
971  Arg Thr Gln Asn Thr Lys Cys Arg Cys Lys Pro Asn Phe Phe Cys
972                 125                 130                 135
974  Asn Ser Thr Val Cys Glu His Cys Asp Pro Cys Thr Lys Cys Glu
975                 140                 145                 150
977  His Gly Ile Ile Lys Glu Cys Thr Leu Thr Ser Asn Thr Lys Cys
978                 155                 160                 165
980  Lys Glu
983 (2) INFORMATION FOR SEQ ID NO: 23:
985      (i) SEQUENCE CHARACTERISTICS:
986           (A) LENGTH: 78 amino acids
E--> 987      (B) TYPE: PRT
988           (D) TOPOLOGY: Linear
990     (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 23:
992  Val Val Glu Asn Val Pro Pro Leu Arg Trp Lys Glu Phe Val Arg
993    1               5                  10                  15
995  Arg Leu Gly Leu Ser Asp His Glu Ile Asp Arg Leu Glu Leu Gln
996                 20                  25                  30
998  Asn Gly Arg Cys Leu Arg Glu Ala Gln Tyr Ser Met Leu Ala Thr
999                 35                  40                  45
1001  Trp Arg Arg Arg Thr Pro Arg Arg Glu Ala Thr Leu Glu Leu Leu
1002                50                  55                  60
1004  Gly Arg Val Leu Arg Asp Met Asp Leu Leu Gly Cys Leu Glu Asp
1005                65                  70                  75
1007  Ile Glu Glu
1010 (2) INFORMATION FOR SEQ ID NO: 24:
1012      (i) SEQUENCE CHARACTERISTICS:
1013           (A) LENGTH: 27 amino acids
E--> 1014      (B) TYPE: PRT
1015           (D) TOPOLOGY: Linear
1017     (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 24:
1019  Ile Ala Gly Val Met Thr Leu Ser Gln Val Lys Gly Phe Val Arg
1020    1               5                  10                  15
1022  Lys Asn Gly Val Asn Glu Ala Lys Ile Asp Glu Ile Lys Asn Asp
1023                20                  25                  30
1025  Asn Val Gln Asp Thr Ala Glu Gln Lys Val Gln Leu Leu Arg Asn
1026                35                  40                  45
1028  Trp His Gln Leu His Gly Lys Lys Glu Ala Tyr Asp Thr Leu Ile
1029                50                  55                  60
1031  Lys Asp Leu Lys Lys Ala Asn Leu Cys Thr Leu Ala Glu Lys Ile
1032                65                  70                  75
1034  Gln Thr
1037 (2) INFORMATION FOR SEQ ID NO: 25:
1039      (i) SEQUENCE CHARACTERISTICS:
1040           (A) LENGTH: 74 amino acids
E--> 1041      (B) TYPE: PRT
1042           (D) TOPOLOGY: Linear
```

RAW SEQUENCE LISTING DATE: 04/13/2004
PATENT APPLICATION: US/09/993,234A TIME: 14:32:52

Input Set : A:\P1007P1D1.txt
Output Set: N:\CRF4\04132004\I993234A.raw

(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 25:

Ile Cys Asp Asn Val Gly Lys Asp Trp Arg Arg Leu Ala Arg Gln
1 5 10 15
Leu Lys Val Ser Asp Thr Lys Ile Asp Ser Ile Glu Asp Arg Tyr
20 25 30
Pro Arg Asn Leu Thr Glu Arg Val Arg Glu Ser Leu Arg Ile Trp
35 40 45
Lys Asn Thr Glu Lys Glu Asn Ala Thr Val Ala His Leu Val Gly
50 55 60
Ala Leu Arg Ser Cys Gln Met Asn Leu Val Ala Asp Leu Val
65 70

(2) INFORMATION FOR SEQ ID NO: 26:

(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 75 amino acids
E--> **(B) TYPE: PRT**
(D) TOPOLOGY: Linear

(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 26:

Asn Arg Pro Leu Ser Leu Lys Asp Gln Gln Thr Phe Ala Arg Ser
1 5 10 15
Val Gly Leu Lys Trp Arg Lys Val Gly Arg Ser Leu Gln Arg Gly
20 25 30
Cys Arg Ala Leu Arg Asp Pro Ala Leu Asp Ser Leu Ala Tyr Glu
35 40 45
Tyr Glu Arg Glu Gly Leu Tyr Glu Gln Ala Phe Gln Leu Leu Arg
50 55 60
Arg Phe Val Gln Ala Glu Gly Arg Arg Ala Thr Leu Gln Arg Leu
65 70 75
Val Glu

(2) INFORMATION FOR SEQ ID NO: 27:

(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 77 amino acids
E--> **(B) TYPE: PRT**
(D) TOPOLOGY: Linear

(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 27:

Ile Arg Glu Asn Leu Gly Lys His Trp Lys Asn Cys Ala Arg Lys
1 5 10 15
Leu Gly Phe Thr Gln Ser Gln Ile Asp Glu Ile Asp His Asp Tyr
20 25 30
Glu Arg Asp Gly Leu Lys Glu Lys Val Tyr Gln Met Leu Gln Lys
35 40 45
Trp Val Met Arg Glu Gly Ile Lys Gly Ala Thr Val Gly Lys Leu
50 55 60
Ala Gln Ala Leu His Gln Cys Ser Arg Ile Asp Leu Leu Ser Ser
65 70 75
Leu Thr

(2) INFORMATION FOR SEQ ID NO: 28:

(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 63 amino acids
E--> **(B) TYPE: PRT**

RAW SEQUENCE LISTING DATE: 04/13/2004
PATENT APPLICATION: US/09/993,234A TIME: 14:32:52

Input Set : A:\P1007P1D1.txt
Output Set: N:\CRF4\04132004\I993234A.raw

1120 (D) TOPOLOGY: Linear
1122 (xi) SEQUENCE DESCRIPTION: SEQ ID NO: 28:
1124 Met Ala Val Ala Phe Tyr Ile Pro Asp Gln Ala Thr Leu Leu Arg
1125 1 5 10 15
1127 Glu Ala Glu Gln Lys Glu Gln Gln Ile Leu Arg Leu Arg Glu Ser
1128 20 25 30
1130 Gln Trp Arg Phe Leu Ala Thr Val Val Leu Glu Thr Leu Lys Gln
1131 35 40 45
1133 Tyr Thr Ser Cys His Pro Lys Thr Gly Arg Lys Ser Gly Lys Tyr
1134 50 55 60
1136 Arg Lys Pro

VERIFICATION SUMMARY DATE: 04/13/2004
PATENT APPLICATION: **US/09/993,234A** TIME: 14:32:53

Input Set : **A:\P1007P1D1.txt**
Output Set: **N:\CRF4\04132004\I993234A.raw**

L:7 M:244 W: Invalid beginning of sequence listing, Data=[SEQUENCE LISTING], Duplicate Sequence Listing Title!
L:32 M:220 C: Keyword misspelled or invalid format, [(A) APPLICATION NUMBER:]
L:33 M:220 C: Keyword misspelled or invalid format, [(B) FILING DATE:]
L:890 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=21
L:941 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=22
L:986 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=23
L:1013 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=24
L:1040 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=25
L:1064 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=26
L:1091 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=27
L:1118 M:241 E: Invalid Alpha Header Field, [TYPE:], SeqNo=28